



IFW

PATENTS

CERTIFICATE OF MAILING

I hereby certify that this correspondence and enclosures are being deposited with the United States Postal Service as First Class Mail, in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA, 22313-1450 on June 7, 2004.

Elisabeth O'Brien
Elisabeth O'Brien

Serial No: 10/766,551
Filed: January 28, 2004
Applicant: Gregory C. Jensen et al.
Title: ELECTRONIC TRANSACTION VERIFICATION SYSTEM
Art Unit: Unknown
Examiner: Unknown
Atty Dock: SAFL-24
Confirmation No.: 3110

Cincinnati, Ohio 45202

June 7, 2004

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

INFORMATION DISCLOSURE STATEMENT

In accordance with the duty of candor and good faith which is imposed by Rule 56 (37 C.F.R. §1.56), the art listed on the attached form PTO-1449 (6 pages) is called to the attention of the U.S. Patent and Trademark Office ("PTO") in connection with the above-identified patent application. Copies of all non-U.S. patent references are attached hereto. No representation is made that the cited art is the only art or that the cited art represents the best art.

The Examiner is urged to consider the cited references and to make an independent decision with respect to their materiality.

It is believed that a First Official Action has yet to be issued in this case, and no fee is believed due herefor. If a fee is due, the Commissioner is authorized to charge our Deposit Account 23-3000.

Respectfully submitted,

WOOD, HERRON & EVANS, L.L.P.



Douglas A. Scholer
Reg. No. 52,197

2700 Carew Tower
441 Vine Street
Cincinnati OH 45202
513 241-2324 (voice)
513 241-6234 (facsimile)

K:\SAFL\24\IDS Transmittal.wpd

| | | | | | | | |
|---|--|--|--|---|--|--------------------------|--|
| SUBSTITUTE FORM PTO-1449 (MODIFIED) | | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | | ATTY. DOCKET NO. SAFL/24 | | SERIAL NO. 10/766,551 | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary) | | | | APPLICANT Gregory C. Jensen and Dwayne Mercredi | | | |
| (37 CFR 1.98(b)) | | | | FILING DATE 01/28/04 | | GROUP unknown | |

| U.S. PATENT DOCUMENTS | | | | | | | | | | | | | |
|-----------------------|-----|---------------|---|---|---|---|---|---|---------------|-------------------|-------|----------|-------------------------------|
| EXAMINER INITIAL | | PATENT NUMBER | | | | | | | ISSUE DATE | PATENTEE | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
| | A.A | 4 | 8 | 2 | 7 | 5 | 1 | 8 | 05/02/89 | Feustel et al. | | | |
| | A.B | 5 | 2 | 2 | 9 | 7 | 6 | 4 | 07/20/93 | Matchett et al. | | | |
| | A.C | 5 | 2 | 7 | 2 | 7 | 5 | 4 | 12/21/93 | Boerbert | | | |
| | A.D | 5 | 2 | 8 | 0 | 5 | 2 | 7 | 01/18/94 | Gullman et al. | | | |
| | A.E | 5 | 4 | 3 | 0 | 8 | 2 | 7 | 07/04/95 | Rissanen | | | |
| | A.F | 5 | 5 | 3 | 4 | 8 | 5 | 5 | 07/09/96 | Shockley et al. | | | |
| | A.G | 5 | 5 | 8 | 1 | 7 | 0 | 0 | 12/03/96 | Witte | | | 08/1996 |
| | A.H | 5 | 6 | 1 | 3 | 0 | 1 | 2 | 03/18/97 | Hoffman et al. | | | |
| | A.I | 5 | 6 | 8 | 2 | 4 | 7 | 8 | 10/28/97 | Watson et al. | | | |
| | A.J | 5 | 7 | 1 | 9 | 9 | 5 | 0 | 02/17/98 | Osten et al. | | | |
| | A.K | 5 | 8 | 4 | 8 | 2 | 3 | 1 | 12/08/98 | Teitelbaum et al. | | | |

| FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS | | | | | | | |
|--|-----|--------------------|---------------------|-----------------------------|-------|----------|-------------------------|
| | | DOCUMENT NUMBER | PUBLICATION DATE | COUNTRY OR PATENT OFFICE | CLASS | SUBCLASS | TRANSLATION (YES/NO) |
| | A.L | EP 0 426 595 A2 | 05/08/91 | EP | G06F | 1/00 | N/A |
| | A.M | EP 1 176 489 A2 | 01/30/02 | EP | G06F | 1/00 | N/A |
| | A.N | WO 01/11845 A2 | 02/15/01 | PCT | H04L | 29/00 | N/A |
| | A.O | WO 01/48674 | 07/05/01 | PCT | G06F | 19/00 | N/A |
| | A.P | WO 02/056138 A2 | 07/18/02 | PCT | G06F | | N/A |
| | A.Q | WO 02/077819 A1 | 10/03/02 | PCT | G06F | 11/30 | N/A |

| OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication) | |
|---|---|
| A.R | Anonymous, <u>LogonUser</u> , 1997, Microsoft, pages 1-3 |
| A.S | Anonymous, <u>NRI Introduces Finger-Image-Enabled User Authentication for Windows NT Operating System</u> , NRI Product Write-Up, Nov. 1996 (3 pages) |
| A.T | Anonymous, <u>Microsoft Windows NT Resource Kit</u> , 1985-1993, Microsoft Press, 34-49 |

| | |
|----------|-----------------|
| EXAMINER | DATE CONSIDERED |
|----------|-----------------|

EXAMINER: Initial if citation considered, whether or not in conformance. Draw line through citation only if not in conformance and not considered. Include a copy of this form with next communication to applicant.

| | | | | | | | |
|--|--|--|--|---|--|--------------------------|--|
| SUBSTITUTE FORM PTO-1449 (MODIFIED) | | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | | ATTY. DOCKET NO. SAFL/24 | | SERIAL NO. 10/766,551 | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT | | | | APPLICANT Gregory C. Jensen and Dwayne Mercredi | | | |
| (Use several sheets if necessary) | | | | | | | |
| (37 CFR 1.98(b)) | | | | FILING DATE 01/28/04 | | GROUP unknown | |

| U.S. PATENT DOCUMENTS | | | | | | | | | | | | | |
|-----------------------|-----|---------------|---|---|---|---|---|---|---------------|----------------------|-------|----------|-------------------------------|
| EXAMINER INITIAL | | PATENT NUMBER | | | | | | | ISSUE DATE | PATENTEE | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
| | B.A | 5 | 9 | 3 | 1 | 9 | 4 | 8 | 08/03/99 | Morisawa et al. | | | 09/1997 |
| | B.B | 6 | 0 | 1 | 6 | 4 | 7 | 6 | 01/18/00 | Maes et al. | | | |
| | B.C | 6 | 0 | 3 | 8 | 3 | 1 | 5 | 03/14/00 | Strait et al. | | | |
| | B.D | 6 | 0 | 6 | 7 | 6 | 2 | 3 | 05/23/00 | Blakley, III et al. | | | |
| | B.E | 6 | 1 | 6 | 7 | 5 | 1 | 7 | 12/26/00 | Gilchrist et al. | | | 04/1998 |
| | B.F | 6 | 1 | 8 | 2 | 0 | 7 | 6 | 01/30/01 | Yu et al. | | | 12/1998 |
| | B.G | 6 | 2 | 5 | 6 | 7 | 3 | 7 | 07/03/01 | Bianco et al. | | | 03/1999 |
| | B.H | 6 | 2 | 6 | 6 | 6 | 6 | 4 | 07/24/01 | Russell-Falla et al. | | | 10/1998 |
| | B.I | 6 | 2 | 6 | 9 | 3 | 7 | 1 | 07/31/01 | Ohnishi | | | 09/1998 |
| | B.J | 6 | 2 | 7 | 5 | 8 | 2 | 5 | 08/14/01 | Kobayashi et al. | | | 12/1998 |
| | B.K | 6 | 3 | 1 | 7 | 5 | 4 | 4 | 11/13/01 | Diehl et al. | | | |

| FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS | | | | | | | |
|--|-----|--------------------|---------------------|-----------------------------|-------|----------|-------------------------|
| | | DOCUMENT NUMBER | PUBLICATION DATE | COUNTRY OR PATENT OFFICE | CLASS | SUBCLASS | TRANSLATION (YES/NO) |
| | B.L | | | | | | |
| | B.M | | | | | | |
| | B.N | | | | | | |
| | B.O | | | | | | |
| | B.P | | | | | | |
| | B.Q | | | | | | |

| OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication) | |
|---|---|
| | B.R Gibbs, Mark, <u>VINES 5.5 receives long-awaited recognition for network security</u> , 1993, Network World, pages 22 and 25 |
| | B.S Backman, Dan, <u>Guarding the flank with RADIUS & TACACS+</u> , February 1998, Network Computing, pages 1-4 |
| | B.T Sullivan, Thomas, <u>Open enterprise networks demand the security enhancements in Windows 2000</u> , May 2000, Ent, page 1 |

| | |
|----------|-----------------|
| EXAMINER | DATE CONSIDERED |
|----------|-----------------|

EXAMINER: Initial if citation considered, whether or not in conformance. Draw line through citation only if not in conformance and not considered. Include a copy of this form with next communication to applicant.

| | | | | | | | | | | | | | |
|--|-----|--|---|---|---|--------------------------|---|---------------------|-----------------------------|--------------|----------|-------------------------------|---------|
| SUBSTITUTE FORM PTO-1449 (MODIFIED) | | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | | ATTY. DOCKET NO. SAFL/24 | | SERIAL NO. 10/766,551 | | | | | | | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT | | | | APPLICANT Gregory C. Jensen and Dwayne Mercredi | | | | | | | | | |
| (Use several sheets if necessary) | | | | | | | | | | | | | |
| (37 CFR 1.98(b)) | | | | FILING DATE 01/28/04 | | GROUP unknown | | | | | | | |
| U.S. PATENT DOCUMENTS | | | | | | | | | | | | | |
| EXAMINER INITIAL | | PATENT NUMBER | | | | | | ISSUE DATE | PATENTEE | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE | |
| | C.A | 6 | 4 | 0 | 0 | 8 | 0 | 6 | 06/04/02 | Uppaluru | | | |
| | C.B | 6 | 4 | 3 | 4 | 2 | 5 | 9 | 08/13/02 | Hamid et al. | | | |
| | C.C | 6 | 6 | 1 | 8 | 8 | 0 | 6 | 09/09/03 | Brown et al. | | | 07/1999 |
| | C.D | | | | | | | | | | | | |
| | C.E | | | | | | | | | | | | |
| | C.F | | | | | | | | | | | | |
| | C.G | | | | | | | | | | | | |
| | C.H | | | | | | | | | | | | |
| | C.I | | | | | | | | | | | | |
| | C.J | | | | | | | | | | | | |
| | C.K | | | | | | | | | | | | |
| FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS | | | | | | | | | | | | | |
| | | DOCUMENT NUMBER | | | | | | PUBLICATION DATE | COUNTRY OR PATENT OFFICE | CLASS | SUBCLASS | TRANSLATION (YES/NO) | |
| | C.L | | | | | | | | | | | | |
| | C.M | | | | | | | | | | | | |
| | C.N | | | | | | | | | | | | |
| | C.O | | | | | | | | | | | | |
| | C.P | | | | | | | | | | | | |
| | C.Q | | | | | | | | | | | | |
| OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication) | | | | | | | | | | | | | |
| | C.R | Anderson et al, <u>NOSes enhance Internet accessibility</u> , May, 2000, Network Computing, pages 1-15 | | | | | | | | | | | |
| | C.S | Doherty, Sean, <u>Iridian Technologies' Private ID 2.0 let users' eyes secure their access</u> , December 2001, Network Computing, pages 1-3 | | | | | | | | | | | |
| | C.T | Fratto, Mike, <u>PremierAccess heads a pedestrian pack</u> , September, 2002, Network Computing, pages 1-8 | | | | | | | | | | | |
| EXAMINER | | | | | | | | | DATE CONSIDERED | | | | |
| EXAMINER: Initial if citation considered, whether or not in conformance. Draw line through citation only if not in conformance <u>and</u> not considered. Include a copy of this form with next communication to applicant. | | | | | | | | | | | | | |

| | | | | | |
|--|--|--|--|---|--------------------------|
| SUBSTITUTE FORM PTO-1449 (MODIFIED) | | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | | ATTY. DOCKET NO. SAFL/24 | SERIAL NO. 10/766,551 |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT | | | | APPLICANT Gregory C. Jensen and Dwayne Mercredi | |
| (Use several sheets if necessary) | | | | | |
| (37 CFR 1.98(b)) | | | | FILING DATE 01/28/04 | GROUP unknown |

| U.S. PATENT DOCUMENTS | | | | | | | |
|-----------------------|------------------|---------------|----------|-------|----------|-------------------------------|--|
| EXAMINER INITIAL | PATENT NUMBER | ISSUE DATE | PATENTEE | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE | |
| | D.A | | | | | | |
| | D.B | | | | | | |
| | D.C | | | | | | |
| | D.D | | | | | | |
| | D.E | | | | | | |
| | D.F | | | | | | |
| | D.G | | | | | | |
| | D.H | | | | | | |
| | D.I | | | | | | |
| | D.J | | | | | | |
| | D.K | | | | | | |

| FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS | | | | | | | |
|--|---------------------|-----------------------------|-------|----------|-------------------------|--|--|
| DOCUMENT NUMBER | PUBLICATION DATE | COUNTRY OR PATENT OFFICE | CLASS | SUBCLASS | TRANSLATION (YES/NO) | | |
| | D.L | | | | | | |
| | D.M | | | | | | |
| | D.N | | | | | | |
| | D.O | | | | | | |
| | D.P | | | | | | |
| | D.Q | | | | | | |

| OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication) | |
|---|---|
| D.R | Anonymous, <u>Entrust Technologies Teams with Schlumberger and American Biometric Company to Provide Enhanced Security for Today's Mobile Workforce</u> , Dec. 1998 |
| D.S | Anonymous, <u>Biometric Identification Inc. and I/O Software Inc. Collaborate to Integrate Fingerprint Verification Technology</u> , Dec. 1998 |
| D.T | Newton, Harry, <u>Newton's Telecom Dictionary</u> , 2002, CMP Books, 18th Updated and Expanded Edition, page 57 |

| | |
|----------|-----------------|
| EXAMINER | DATE CONSIDERED |
|----------|-----------------|

EXAMINER: Initial if citation considered, whether or not in conformance. Draw line through citation only if not in conformance and not considered. Include a copy of this form with next communication to applicant.

| | | | | | | | |
|--|-----|--|---------------------|---|--------------------------|----------|-------------------------------|
| SUBSTITUTE FORM PTO-1449 (MODIFIED) | | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | | ATTY. DOCKET NO. SAFL/24 | SERIAL NO. 10/766,551 | | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT | | | | APPLICANT Gregory C. Jensen and Dwayne Mercredi | | | |
| (Use several sheets if necessary) | | | | FILING DATE 01/28/04 | GROUP unknown | | |
| (37 CFR 1.98(b)) | | | | | | | |
| U.S. PATENT DOCUMENTS | | | | | | | |
| EXAMINER INITIAL | | PATENT NUMBER | ISSUE DATE | PATENTEE | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
| | E.A | | | | | | |
| | E.B | | | | | | |
| | E.C | | | | | | |
| | E.D | | | | | | |
| | E.E | | | | | | |
| | E.F | | | | | | |
| | E.G | | | | | | |
| | E.H | | | | | | |
| | E.I | | | | | | |
| | E.J | | | | | | |
| | E.K | | | | | | |
| FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS | | | | | | | |
| | | DOCUMENT NUMBER | PUBLICATION DATE | COUNTRY OR PATENT OFFICE | CLASS | SUBCLASS | TRANSLATION (YES/NO) |
| | E.L | | | | | | |
| | E.M | | | | | | |
| | E.N | | | | | | |
| | E.O | | | | | | |
| | E.P | | | | | | |
| | E.Q | | | | | | |
| OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication) | | | | | | | |
| | E.R | Microsoft Computer Dictionary, 2002, Microsoft Press, Fifth Edition, page 427 | | | | | |
| | E.S | R. Gallery and T.I.P. Trew, <u>An Architecture For Face Classification</u> , 1992, pages 1-5 | | | | | |
| | E.T | Cole, George, <u>Biometrics and its benefits</u> , Oct. 1996, Financial Times Information Limited, pages 1-4 | | | | | |
| EXAMINER | | | | DATE CONSIDERED | | | |
| EXAMINER: Initial if citation considered, whether or not in conformance. Draw line through citation only if not in conformance <u>and</u> not considered. Include a copy of this form with next communication to applicant. | | | | | | | |

| | | | | | | | |
|--|-----|---|---------------------|---|--------------------------|----------|-------------------------------|
| SUBSTITUTE FORM PTO-1449 (MODIFIED) | | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | | ATTY. DOCKET NO. SAFL/24 | SERIAL NO. 10/766,551 | | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT | | | | APPLICANT Gregory C. Jensen and Dwayne Mercredi | | | |
| (Use several sheets if necessary) | | | | | | | |
| (37 CFR 1.98(b)) | | | | FILING DATE 01/28/04 | GROUP unknown | | |
| U.S. PATENT DOCUMENTS | | | | | | | |
| EXAMINER INITIAL | | PATENT NUMBER | ISSUE DATE | PATENTEE | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
| | F.A | | | | | | |
| | F.B | | | | | | |
| | F.C | | | | | | |
| | F.D | | | | | | |
| | F.E | | | | | | |
| | F.F | | | | | | |
| | F.G | | | | | | |
| | F.H | | | | | | |
| | F.I | | | | | | |
| | F.J | | | | | | |
| | F.K | | | | | | |
| FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS | | | | | | | |
| | | DOCUMENT NUMBER | PUBLICATION DATE | COUNTRY OR PATENT OFFICE | CLASS | SUBCLASS | TRANSLATION (YES/NO) |
| | F.L | | | | | | |
| | F.M | | | | | | |
| | F.N | | | | | | |
| | F.O | | | | | | |
| | F.P | | | | | | |
| | F.Q | | | | | | |
| OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication) | | | | | | | |
| | F.R | Komando, Kim, <u>PC Security Now Just A Fingerprint Away</u> , Aug. 1998, Denver Post, pages 1-2 | | | | | |
| | F.S | Anonymous, <u>Identicator Unveils Suite of Fingerprint Identification Products for the PC</u> , Nov. 1998, Business Wire, pages 1-3 | | | | | |
| | F.T | | | | | | |
| EXAMINER | | | | DATE CONSIDERED | | | |
| EXAMINER: Initial if citation considered, whether or not in conformance. Draw line through citation only if not in conformance <u>and</u> not considered. Include a copy of this form with next communication to applicant. | | | | | | | |